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PATENT TRADEMARK OFFICE

**CERTIFICATE OF MAILING**

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Typed or Printed name of person signing this certificate:

Wendy A. Frick

Signed: \_\_\_\_\_

*Wendy A. Frick*

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PATENT

#18/c  
JM  
7/21/02**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of )

Kaumaya, et al. )

Serial No.: 09/632,036 )

Filed: August 3, 1999 )

For: **POLYPEPTIDES AND** )  
**POLYNUCLEOTIDES FOR** )  
**ENHANCING IMMUNE REACTIVITY** )  
**TO HER-2 PROTEIN** )

Examiner: Hunt, J.

Group Art Unit: 1642

Attorney Docket No.: 18525/04011

U.S. Patent and Trademark Office

Box Sequence

P.O. Box 2327

Arlington, Virginia 22202

**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT  
APPLICATIONS CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Dear Sir:

In response to the Notice to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures mailed July 1, 2002, applicants respectfully submit the enclosed paper copy of the Sequence Listing, a copy of the same Sequence Listing in computer readable form and a copy of the Notice to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures received from the Patent Office. The content of the paper copy and the computer readable copy of the Sequence Listing are the same. The sequences contained in the

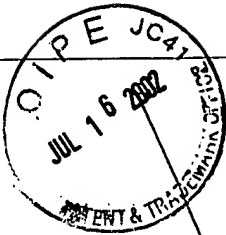
substitute Sequence Listing are the same as those in the original Sequence Listing and the application as filed. Thus, the Sequence Listing adds no new matter to the application.

It is believed that no further fee is required relating to the filing of this Response. If this is not the case, the Patent Office is hereby authorized to charge any related fee to Deposit Account No. 03-0172. A duplicate copy of this sheet is attached.

Respectfully submitted,

Dated: July 14, 2002

Pamela A. Docherty  
Pamela A. Docherty, Reg. No. 40,561  
(216) 622-8416



185254011.ST25.txt  
SEQUENCE LISTING

<110> Kaumaya, Pravin T.  
Stevens, Vernon C.  
Triozi, Pierre L.

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<120> Polypeptides and Polynucleotides for Enhancing Immune Reactivity to HER-2  
Proteins

<130> 18525/04011

<140> 09/632,036

<141> 2000-08-03

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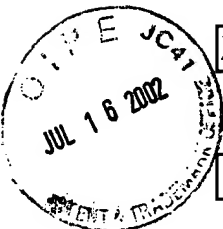
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**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):



- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216  
 For CRF Submission Help, call (703) 308-4212  
 PatentIn Software Program Support (SIRA)

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 To Purchase PatentIn Software.....703-306-2600

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